

**PUBLIC UTILITIES COMMISSION OF THE STATE OF CALIFORNIA**

Consumer Protection and Safety Division  
Safety and Reliability Branch  
Rail Transit Safety Section

RESOLUTION ST-61  
JUNE 5, 2003

**RESOLUTION**

RESOLUTION APPROVING THE PORT OF LOS ANGELES  
WATERFRONT RED CAR LINE'S SYSTEM SAFETY PROGRAM  
PLAN AND SYSTEM SECURITY PLAN.

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**SUMMARY**

This resolution grants the Port of Los Angeles Waterfront Red Car Line's (POLA) request for approval of its System Safety Program Plan (SSPP) and System Security Plan.

**BACKGROUND**

General Order 164-C, Rules and Regulations Governing State Safety Oversight of Rail Fixed Guideway Systems requires each rail transit agency to obtain Commission approval of an SSPP before it begins operations. The SSPP must contain a security portion.

On August 30, 2002, POLA submitted its SSPP for review by staff of the Rail Transit Safety Section (staff) and approval by the Commission. On April 22, 2003, POLA submitted its System Security Plan (security portion of the SSPP) for review by staff and approval by the Commission.

**DISCUSSION**

Staff reviewed the draft SSPP in accordance with the 24-point checklist included in its procedure RTSS-2, Procedure for Reviewing, Approving and Filing Transit Agency Prepared System Safety Program Plans. Staff and POLA had several discussions on the content of the SSPP that resulted in POLA submitting a revised SSPP on April 4, 2003. The revised SSPP was in compliance with the

24-point checklist and General Order 164-C. The completed checklist showing the details of staff's review is attached as Appendix A. Based upon the results of this review, staff recommends that the Commission grant approval of POLA's SSPP.

Staff, in accordance with a six-point checklist, reviewed the POLA System Security Plan. Staff's review found that POLA's System Security Plan was in compliance with the six-point checklist and General Order 164-C. The completed checklist showing the details of staff's review is attached as Appendix B. Based upon the results of this review, staff recommends that the Commission grant approval of POLA's System Security Plan (security portion of its SSPP).

### **PROTESTS**

No protests or objections have been received.

### **COMMENTS**

This is an uncontested matter in which the resolution grants the relief requested. Therefore, pursuant to Public Utilities Code Section 311 (g)(2), the otherwise applicable 30-day period for public review and comment is being waived.

### **FINDINGS**

1. POLA requested approval of its SSPP on August 30, 2002.
2. POLA requested approval of its revised SSPP on April 4, 2003.
3. Staff has reviewed POLA's SSPP and determined that the plan meets the requirements contained in General Order 164-C.
4. POLA requested approval of its System Security Plan (security portion of the SSPP) on April 22, 2003.
5. Staff reviewed POLA's System Security Plan and determined that the plan meets the requirements contained in General Order 164-C.

**THEREFORE, IT IS ORDERED THAT:**

1. POLA's April 4, 2003 request for approval of its System Safety Program Plan, dated February 23, 2003, is granted.
2. POLA's April 22, 2003 request for approval of its System Security Plan (security portion of the SSPP), dated April 22, 2003, is granted.
3. This resolution is effective today.

I certify that the foregoing resolution was duly introduced, passed, and adopted by the Commission at its regularly scheduled meeting on June 5, 2003. The following Commissioners voted favorably thereon:

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WILLIAM AHERN  
Executive Director

MICHAEL R. PEEVEY  
President  
CARL W. WOOD  
LORETTA M. LYNCH  
GEOFFREY F. BROWN  
SUSAN P. KENNEDY  
Commissioners

SUMMARY CHECKLIST FOR REVIEWING SYSTEM SAFETY PROGRAM PLANS								
TRANSIT AGENCY: <u>PORT OF LOS ANGELES</u> <u>WATERFRONT RED CAR LINE</u>		A C C E P T A B L E	U N A C C E P T A B L E				A C C E P T A B L E	U N A C C E P T A B L E
PLAN TITLE: <u>PORT OF LOS ANGELES WATERFRONT</u> <u>RED CAR LINE SYSTEM SAFETY PROGRAM PLAN</u>								
REV NO: <u>N/A</u> DATE: <u>8/30/2002</u> REVISION DATE: <u>2/23/2003</u>								
ITEM		ITEM						
1	Policy Statement and Authority for System Safety Program Plan	X		13	Training and Certification Review / Audit	X		
2	Description of Purpose for System Safety Program Plan	X		14	Emergency Response Planning, Coordinating, Training	X		
3	Clearly Stated Goals for System Safety Program Plan	X		15	System Modification Review / Approval Process	X		
4	Identifiable and Attainable Objectives	X		16	Safety Data Acquisition / Analysis	X		
5	System Description / Organizational Structure	X		17	Interdepartmental / Interagency Coordination	X		
6	System Safety Program Plan Control and Update Procedure	X		18	Configuration Management	X		
7	Hazard Identification / Resolution Process	X		19	Employee Safety Program	X		
8	Accident / Incident Reporting & Investigation	X		20	Hazardous Materials Program	X		
9	Internal Safety Audit Process	X		21	Drug and Alcohol Abuse Program	X		
10	Facility Inspections (Includes Systems Equipment & Rolling Stock)	X		22	Contractor Safety Coordination	X		
11	Maintenance Audits / Inspections (All Systems & Facilities)	X		23	Procurement	X		
12	Rules / Procedures Review	X		24	Security	X		

The System Safety Program Plan is:

☒ Acceptable

☐ Unacceptable, Revise and Resubmit

Reviewed by: Brian Yu Date: 5/8/2003  
Brian Yu, RTSS Designated Representative

Approved by: Robert L. Strauss Date: 5-13-03  
RTSS Manager

## CPUC CHECKLIST FOR REVIEW OF SYSTEM SAFETY PROGRAM PLANS

Transit Agency: **PORT OF LOS ANGELES WATERFRONT RED CAR LINE**  
 Plan Title: **SYSTEM SAFETY PROGRAM PLAN** Rev. No. **N/A**

Submittal Date: **04/04/03**

Plan Date: **08/30/02**

The System Safety Program Plan is:

Revision Date: **02/23/03**

☒ Acceptable ☐ Unacceptable, Revise and Resubmit

Reviewed by: **BRIAN YU** Date: **05/08/03**

Chk No.	SSPP Requirements	Included		Page Ref.	Comments
		Y	N		
1	<u>Policy Statement and Authority for System Safety Program Plan</u> <ul style="list-style-type: none"> <li>Approval of the SSPP by the CEO</li> <li>Authority of the Transit Agency</li> <li>Authority of the System Safety Program Plan</li> </ul>	X		1	
		X		1	
		X		2	
2	<u>Description of Purpose for System Safety Program Plan</u> <ul style="list-style-type: none"> <li>Purpose of the SSPP</li> <li>System Safety Definitions</li> </ul>	X		3	
		X		3	
3	<u>Clearly Stated Goals for System Safety Program Plans</u> <ul style="list-style-type: none"> <li>A list of goals that are long term, meaningful, and realizable</li> </ul>	X		4	
4	<u>Identifiable and Attainable Objectives</u> <ul style="list-style-type: none"> <li>A list of objectives that are quantifiable and achievable through the implementation of various management policies</li> </ul>	X		4-5	
5	<u>System Description / Organizational Structure</u> <ul style="list-style-type: none"> <li>A description of the system</li> <li>Organization charts that show the lines of authority and responsibility for operations, maintenance, engineering, system safety, and security</li> </ul>	X		5-7	
		X		10	
6	<u>System Safety Program Plan Control and Update Procedure</u> <ul style="list-style-type: none"> <li>Frequency of review of SSPP</li> <li>Procedure and responsibilities for reviewing and updating SSPP, including submittal for CPUC approval</li> </ul>	X		11	
		X		11	
7	<u>Hazard Identification / Resolution Process</u> <ul style="list-style-type: none"> <li>Identification of departments involved, including their roles and responsibilities</li> <li>Hazard identification methodology</li> <li>Hazard analysis and resolution matrix</li> </ul>	X		11-12	
		X		11-14	
		X		12-14	

8	<u>Accident / Incident Reporting &amp; Investigation</u>				
	• Identification of all departments covered by this element, and identification of each department's commitment to safety, including roles, responsibilities, and implementation methods or processes	X		14-15	
	• Policy regarding which accidents/incidents will be investigated	X		15	
	• Procedure for conducting investigations	X		15-16	
9	<u>Internal Safety Audit Process</u>				
	• Audit responsibilities and authority	X		18	
	• Audit Process	X		18-21	
	• Audit Reporting Requirements - see CPUC RTSS-5 Checklist requirements	X		21	
10	<u>Facilities Inspections</u>				
	• Identification of all departments covered by this element, and identification of each department's commitment to safety, including roles, responsibilities, and implementation methods or processes	X		21-22	
	• Inventory of facilities with safety-related characteristics	X		22	
	• Frequency of inspections	X		22	
11	<u>Maintenance Audits / Inspections</u>				
	• Identification of all departments covered by this element, and identification of each department's commitment to safety, including roles, responsibilities, and implementation methods or processes	X		23-26	
	• Procedures, manuals, and forms used	X		23-26	
	• Records maintained	X		23-26	
	• Methods for tracking and resolving problems identified	X		23-26	
12	<u>Rules / Procedures Review (O &amp; M)</u>				
	• Identification of all departments covered by this element, and identification of each department's commitment to safety, including roles, responsibilities, and implementation methods or processes	X		26-27	
	• Description of the purpose and function of various rule/procedure instruments such as bulletins, special notices, etc.	X		27	
	• Process for reviewing and modifying rules and procedures	X		27	
	• Monitoring and enforcement of rules and procedures (written examinations, field observations, audits)	X		27	

13	<u>Training and Certification Review / Audit (O &amp; M)</u>				
	<ul style="list-style-type: none"> <li>• Identification of all departments covered by this element, and identification of each department's commitment to safety, including roles, responsibilities, and implementation methods or processes</li> </ul>	X		28-31	
	<ul style="list-style-type: none"> <li>• Description of training programs, including frequency of refresher training</li> </ul>	X		28-30	
14	<u>Emergency Response Planning, Coordination, Training</u>				
	<ul style="list-style-type: none"> <li>• Identification of all departments covered by this element, and identification of each department's commitment to safety, including roles, responsibilities, and implementation methods or processes</li> </ul>	X		31-32	
	<ul style="list-style-type: none"> <li>• Periodic, scheduled meetings, emergency drills, and other contact with outside agencies</li> </ul>	X		32	
15	<u>System Modification Review / Approval Process</u>				
	<ul style="list-style-type: none"> <li>• Identification of all departments covered by this element, and identification of each department's commitment to safety, including roles, responsibilities, and implementation methods or processes</li> </ul>	X		32-33	
	<ul style="list-style-type: none"> <li>• Safety Certification Process</li> </ul>	X		33	
	<ul style="list-style-type: none"> <li>• safety criteria</li> </ul>	X		33	
	<ul style="list-style-type: none"> <li>• hazard analyses</li> </ul>	X		33	
	<ul style="list-style-type: none"> <li>• risk assessment process</li> </ul>	X		33	
	<ul style="list-style-type: none"> <li>• hazards worked into Hazard Resolution Process</li> </ul>	X		33	
	<ul style="list-style-type: none"> <li>• compatibility with existing system</li> </ul>	X		33	
	<ul style="list-style-type: none"> <li>• testing, verification, and validation</li> </ul>	X		33	
	<ul style="list-style-type: none"> <li>• exceptions and work-arounds only when absolutely necessary and only when approved by levels of top management</li> </ul>	X		33	
	<ul style="list-style-type: none"> <li>• sign-off and other accountability requirements</li> </ul>	X		33	
16	<u>Safety Data Acquisition / Analysis</u>				
	<ul style="list-style-type: none"> <li>• Identification of all departments covered by this element, and identification of each department's commitment to safety, including roles, responsibilities, and implementation methods or processes</li> </ul>	X		34-35	
17	<u>Interdepartmental / Interagency Coordination</u>				
	<ul style="list-style-type: none"> <li>• Description of the process for coordinating activities and exchanging information between various internal departments and external agencies</li> </ul>	X		35-36	

18	<u>Configuration Management</u>				
	• Identification of all departments covered by this element, and identification of each department's commitment to safety, including roles, responsibilities, and implementation methods or processes	X		36-38	
	• Process and authority for configuration design modifications to existing facilities and equipment	X		36-38	
	• Process for transferal of documentation (as-builts) for new facilities and equipment at the completion of a project from the contractors to the transit agency	X		37	
	• Control, storage, and retrieval of documentation (plans, drawings, specification, etc.)	X		37-38	
19	<u>Employee Safety Program</u>				
	• Identification of all departments covered by this element, and identification of each department's commitment to safety, including roles, responsibilities, and implementation methods or processes	X		38-39	
	• Description of state and federal requirements	X		38-39	
20	<u>Hazardous Material Programs</u>				
	• Identification of all departments covered by this element, and identification of each department's commitment to safety, including roles, responsibilities, and implementation methods or processes	X		39-41	
	• Identification of state and federal regulations that must be followed	X		40-41	
21	<u>Drug and Alcohol Abuse Programs</u>				
	• Identification of all departments covered by this element, and identification of each department's commitment to safety, including roles, responsibilities, and implementation methods or processes	X		41-42	
	• Reference to federal DOT requirements	X		42	
	• Description of the program including policies adopted, procedures uses, etc.	X		41-42	
	• List of safety sensitive positions, including security	X		42	
22	<u>Contractor Safety Coordination</u>				
	• Safety requirements that contractors must follow when working on, or in close proximity to, the transit agency's property	X		42-43	
23	<u>Procurement</u>				
	• Measures and controls in place for the procurement of hazardous materials	X		43-44	
	• Measures and controls to prevent procurement of defective or deficient materials and equipment	X		43-44	
	• Specialty items requiring safety review	X		43	



24	<u>Security</u> <ul style="list-style-type: none"><li>• Measures and controls in place that address the personal security of passengers and employees</li><li>• Security portion of the SSPP follows the guidelines in FTA-MA-90-7001-94-1, TRANSIT SYSTEM SECURITY PROGRAM PLANNING GUIDE</li></ul>	X		44-46	<p>The System Security Plan was submitted on 4/22/03 as a security portion of this SSPP.</p> <p>Staff reviewed the System Security Plan and found it acceptable on 5/12/03</p>
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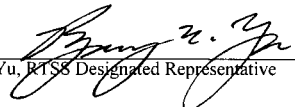
**SUMMARY CHECKLIST  
FOR REVIEWING THE SECURITY PORTION OF  
SYSTEM SAFETY PROGRAM PLANS**

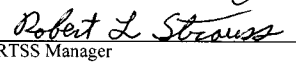
TRANSIT AGENCY: <u>PORT OF LOS ANGELES WATERFRONT RED CAR LINE</u>		A C C E P T A B L E	U N A C C E P T A B L E
PLAN TITLE: <u>WATERFRONT RED CAR LINE SYSTEM SECURITY PLAN</u>			
REV. NO: <u>N/A</u> DATE: <u>4/22/03</u>			
<b>ITEM</b>			
1	Introduction to System Safety	X	
2	Transit System Description	X	
3	Management and Modification of the System Security Portion of the Plan	X	
4	System Security Roles and Responsibilities	X	
5	Threat and Vulnerability Identification, Assessment and Resolution	X	
6	Implementation and Evaluation of the System Security Portion of the Plan	X	

The Security Portion of the System Safety Program Plan is:

  X   Acceptable

       Unacceptable, Revise and Resubmit

Reviewed by:       Date: May 12, 2003  
                          Brian Yu, RTSS Designated Representative

Approved by:       Date: May 13, 2003  
                          RTSS Manager

## CHECKLIST FOR REVIEWING OF SYSTEM SECURITY PROGRAM PLANS

Transit Agency: PORT OF LOS ANGELES WATERFRONT RED CAR LINE

Reviewer: BRIAN YU					Date: May 12, 2003	
No.	CHECKLIST ITEM	SYSTEM SECURITY REQUIREMENTS Does the plan contain or provide for:	INCLUDED		PAGE REF.	COMMENTS
			Y	N		
1	Introduction to System Security	a. A statement emphasizing the importance of security in all aspects of the transit agency's operations?	X		iii	Introduction
		b. An explanation of the purpose of the security program?	X		1	§ 1.2
		c. A description of the goals and objectives of the security program?	X		1	§ 1.3
		d. A scope description that defines the role of the security program, identifies who is in charge, how many people are involved, what their functions are, and their positions/reporting relationships within the transit system organization?	X		1-2 7-9	§'s 1.1 and 1.5 §'s 4.2.1 and 4.2.2
		e. A description of how the transit agency's person in charge of security interacts with the transit agency's own security forces (if any), local municipal police department and other law enforcement agencies?	X		2-3 9	§'s 1.6.1, 1.6.2, 1.6.3, 1.6.4 § 4.2.2.D
		f. Recognition of the CPUC staff's authority and responsibility for overseeing implementation of the security program by reviewing records, witnessing inspections and tests, inspecting facilities, participating in training sessions, observing work practices and auditing total implementation?	X		4	§ 1.7

2	Transit System Description	a. An organization chart showing the relationship between system security, system safety and the other transit agency departments?	X		App	Appendix 3 & 4
		b. A description or tabulation of the major facilities that are included in the security program along with a description of the security devices and procedures that are used to protect those facilities?	X		5-6	§'s 3.1, 3.2.1 and 3.2.2
		c. A description of current conditions in terms of crime rates and security breaches by location?	X		9-10	§ 4.2.3
		d. A summary of what is currently being done to maximize the security of passengers and employees in terms of both proactive programs and emergency response measures?	X		6 7	§ 3.2.3 § 4.2.1
3	Management and Modification of the System Security Portion of the Plan	a. Requirement for conducting periodic reviews or audits to determine compliance with the security portion of the system safety program plan?	X		10-12 16-17	§ 4.2.5 § 7.2
		b. Identification of who is responsible for preparation and maintenance of the security portion of the system safety program plan; including periodic reviews and updates?	X		1 12	§ 1.1 § 5.1
		c. Configuration controls to ensure modifications are properly evaluated by management before adoption, made in writing, and distributed to all with a need to know through compliance with a formal configuration change control procedures?	X		10-12 16-17	§ 4.2.5 § 7.2
4	System Security Roles and Responsibilities	a. The identification by title and description of each of the implementing procedures that are included in the security portion of the system safety program plan; including the procedures for security program planning, proactive measures, emergency response measures, and training?	X		6 8-9 12-13 13-14	§ 3.2.3 § 4.2.2 § 5.2 § 6.2.2
		b. The identification of specific department and persons in charge of the preparation, modification and implementation of each of the procedures identified in (a.) above.	X		7	§ 4.1
		c. A description of the required training and certification programs for employees whose job duties include, in whole or in part, a system security role?	X		6 12-13	§ 3.2.3 § 5.2

5	Threat and Vulnerability Identification, Assessment, and Resolution	a. A description of the methods used to identify threats and vulnerabilities of the transit system?	X		15	§'s 6.3.1 and 6.3.2
		b. Requirements for conducting security assessments of system extensions and modifications to make sure that security is given full consideration during the design phase?	X		15-16 10-12	§'s 6.4.1, 6.4.2 and 6.4.3 § 4.2.5
		c. A program of security equipment testing and facility inspections to assess the vulnerability of the transit system to security threats?	X		14	§ 6.2.1
		d. A description of the security data that is collected and how it is collected and distributed to persons with a need to know?	X		14-15	§ 6.2.3
		e. A description of how and whom security information is analyzed to identify trends of recurring security incidents and to assess the probability and severity of threats and system vulnerability?	X		15	§'s 6.3.1 and 6.3.2
		f. A description of the security reports that are routinely prepared and how and to whom they are distributed?	X		15	§ 6.3.2
		g. The resolution of identified threats and vulnerabilities by elimination, mitigation and acceptance?	X		16	§ 6.4.3
6	Implementation and Evaluation of the System Security Portion of the Plan	a. Regular progress reviews on a periodic scheduled basis by top management to assure that the security program stays current with changing conditions?	X		10-12 16-17	§ 4.2.5 § 7.1 and 7.2